

### <u>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</u>

Applicant(s):

Yoshimura, et al.

Serial No .:.

09/767,582

Filed:

January 22, 2001

For:

SINGLE AND MULTILAYER

WAVEGUIDES AND

FABRICATION PROCESS

Group Art Unit: 2817

Attorney Docket: 25916-180 (6136/53718)

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. § 1.8A)

I hereby certify that this correspondence is, on the date shown below, being:

(X) deposited with the United States Postal Sérvice with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231.

( ) transmitted by facsimile to the Commissioner for Patents.

August 16, 2002

Date 1

<u>NT</u> 1.98 8/2-1/2>

INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 C.F.R. §1,56 AND §§1,97-1.98

Commissioner for Patents Washington, D.C. 20231

Sir:

The citations listed on the enclosed PTO-1449 Form are submitted under 37 C.F.R. §§1.97 and 1.98, and in compliance with the duty of disclosure as defined in 37 C.F.R. §1.56. The Examiner is requested to make these citations officially of record in the application. This Information Disclosure Statement is being submitted for the above-identified application. Consequently, pursuant to 37 C.F.R. §1.97, no fee or certification is required. However, in the event that the first Office Action was mailed before the mailing of this Statement, the Commissioner is hereby authorized to charge the fee set forth in 37 C.F.R. §1.17(p) to deposit account No. 13-0201 to cover this fee.

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Copies of the Listed Citations Have Not Been Provided Pursuant to 37 C.F.R. § 1.98(d) Because They Have Been Submitted or Cited in a Parent Case.

Citations A5 through A9, B6 through B11, and C3 through C5 were made of record in the parent application having Serial No. 09/574,422. Citations A10 and A11 were made of record in the parent application having Serial No. 09/295,813 Accordingly, copies of these references are not attached with this Statement pursuant to 37 C.F.R. §1.98(d). In this regard, M.P.E.P. §609 A(2) states:

"37 C.F.R. §1.98(d) states that a copy of any patent, publication, or other information listed in an information disclosure statement is not required to be provided if it was previously cited by or submitted to the Office in a prior application, provided that the prior application is properly identified in the statement and relied on for an earlier filing date under 35 U.S.C. §120."

In an earlier part, M.P.E.P. §609 states the Examiner is to review the parent cases for prior art:

"... the Examiner will consider information cited or submitted to the Office in a parent application when examining a continuation or continuation-in-part application (MPEP §2001.06(b) which is not a file wrapper continuing application ..."

Therefore, since this case is not a file-wrapper-continuing case, copies of the listed references which are not provided herewith will be available to the Examiner in the parent cases to be reviewed. (Copies of the parent IDS' and Supplemental IDS' are provided for the Examiner's convenience.)

Copies of Citations A1 through A4, B1 through B5, and C1 and C2 which were not cited in parent applications, are attached with this statement.

This Information Disclosure Statement Under 37 C.F.R. §1.56 is not to be construed as a representation that any of the listed citations establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of any claim in the above-identified application. Additionally, this Information Disclosure Statement is not to be construed as a representation that a further search of the art has been made by Applicants, or that

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additional information relevant to the examination of this application does not exist unbeknownst to Applicants.

Respectfully submitted,

David Schnapf

Registration No. 31,566

August 16, 2002 COUDERT BROTHERS, LLP 600 Beach Street, 3<sup>rd</sup> Floor San Francisco, CA 94109 Telephone: (415) 409-2900

Telefax: (415) 409-7400

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(Use several sheets if necessary)

ATTY. DOCKET NO.: 25916-180 (6136/53718)

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09/767,58

APPLICANT: Yoshimura, et al.

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REFERENCE DESIGNATION

EXAM'R Initial	1	DOCUMENT NUMBER	DATE	NAME	Class	Subclass	Filing Date If Appropriate
STR	A1	4,806,454	2/21/89	Yoshida, et al.	430	321	
AB	A2	5,116,461	5/26/92	Lebby, et al.	156	643	
STR	A3	5,258,236	11/2/93	Arjavalingam, et al.	428	626	
STR	A4	5,334,804	8/2/94	Love, et al.	174	267	
_	A5*	5,444,811	8/22/95	Yoshimura, et al.	385	141	
	A6*	5,541,039	7/30/96	McFarland, et al.	430	290	
_	A7*	5,054,872	10/8/91	Fan, et al.	385	130	
	A8*	5,835,646	11/10/98	Yoshimura, et al.	385	14	
	A9*	5,854,868	12/29/98	Yoshimura, et al.	385	50	
	A10*	U.S. patent Application Serial No. 09/192,003		Jiang, et al.			11/13/98
	A11*	U.S. patent Application Serial No. 09/203,126		McCormack, et al.	,		12/01/98

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EXAM'R		DOCUMENT	DATE	COUNTRY	CLASS	Subclass	TRANSLAT'N
INITIAL		NUMBER					yes no
STR	B1	JP-6-140502A	5/20/94	Japan			X
745	B2	JP-6-200974A	7/19/94	Japan			Х
Str	B3	JP-6-204922A	7/22/94	Japan			Х
STR	. B4	JP-7-59240A	3/3/95	Japan			Х
748	B5	JP-7-61092A	3/7/95	Japan			Х
	B6*	JP-8-262265-A	10/11/96	Japan			
	B7*	JP-7-077637A	3/20/95	Japan			
	B8*	JP-8-320422A	12/3/96	Japan			
	B9*	JP-9-157352A	4/4/97	Japan			
	B10*	JP-9-0090153A	6/17/97	Japan			
	B11*	0-689 067 A2	20-06-95	Europe			

**EXAMINER** 

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

(Information Disclosure Statement — Section 9 PTO-1449 (Modified) [6-1])

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TRADEMA		OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)
	C1	Saunders, K.J., "Organic Polymer Chemistry," Chap. 6, Chapman & Hall Ltd., London, 1973.
	C2	Lenz, R., "Organic Chemistry of Synthetic High Polymers" John Wiley & Sons, Inc. 1967, Chaps. 9-12.
	C3*	Chang, Yablonovitch, et al., "Vapor Phase Epitaxial Liftoff Process of GaAs", Paper H10.1 of Session H10 of the Fall 1997 Materials Research Symposium, Abstract and private manuscript, 1997.
	C4*	Yoshimura, et al., "Optoelectronic Amplifier/Driver-Less Substrate, OE-ADLES. For Polymer-Waveguide-Based Board Level Interconnection-Calculation Of Delay And Power Dissipation," the 8th Iketani Conference, 4 <sup>th</sup> International Conference On Organic Nonlinear Optics (ICONO'4), October 12, 1998, Chitose, Hokkaido, Japan.
***	C5*	Norio Murata, "Adhesives for Optical Devices", the 48 <sup>th</sup> conference of the Electronic Components and Technology Conference (ECTC), pages 1178-1185, Seattle, May 25-28, 1998.

If an asterisk is placed beside the reference number a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120, 37 C.F.R. 1.98(d).

**EXAMINER** 

DATE CONSIDERED

**ATTY. DOCKET NO.** 6136/54087

**SERIAL NO.** 09/574,422

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT

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APPLICANT Yoshimura, et al.

May 19, 2000

GROUP ART UNIT 2874

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UNDTERE	NCEDE	SIGNATION U.S	. FAILNI	DOCUMENTS			
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A1	4,007,978	02-15-77	Holton	350	96	
	A2	4,114,257	09-19-78	Bellavance	29	572	
	A3	4,240,849	12-23-80	Kurokawa, et al.	156	73.2	
	A4	4,609,252	09-02-86	Wong, et al.	350	96.12	
	A5	4,630,883	12-23-86	Taylor, et al.	350	96.15	
	A6	4,749,245	06-07-88	Kawatsuki, et al.	350	96.12	
	A7	4,750,799	06-14-88	Kawachi, et al.	350	96.11	
-	A8	4,755,866	07-05-88	Marshall, et al	357	81	
	A9	4,762,381	08-09-88	Uemiya, et al.	350	96.11	
	A10	4,776,661	10-11-88	Handa	350	96.19	
-	A11	4,787,691	11-29-88	Lorenzo, et al.	350	96.14	
	A12	4,871,224	10-03-89	Karstensen, et al.	350	96.15	
	A13	5,009,476	04-23-91	Reid, et al.	359	96.11	
•	A14	5,054,870	10-08-91	Losch, et al.	385	14	

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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANS!	no
	B1	0 617 314 A1	10-09-93	Europe	G02F	1/313	Yes	
	B2	0 689 067 A2	20-06-95	Europe	G02B	6/10	Yes	

OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)

CI	"Lighting the Way in Computer Design," CIRCUITS & DEVICES, January 1998,
	© 1998 IEEE, pp. 23-30.
C2	

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DATE CONSIDERED

**STATEMENT** 

(Use several sheets if necessary)

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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE APPLICANT

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	A15	5,054,872	10-08-91	Fan, et al.	385	130	
	A16	5,059,475	10-22-91	Sun, et al.	428	195	
	A17	5,061,028	10-29-91	Khanarian, et al.	385	132	
	A18	5,104,771	04-14-92	Murray, et al.	430	290	
	A19	5,159,700	10-27-92	Reid, deceased et al.	385	14	
	A20	5,170,448	12-08-92	Ackley, et al.	385	31	
	A21	5,179,601	01-12-93	Gotoh, et al.	385	14	
-	A22	5,192,716	03-09-93	Jacobs	437	209	· · ·
	A23	5,194,548	03-16-93	Yoshimura	526	285	
	A24	5,208,879	05-04-93	Gallo, et al	385	14	
	A25	5,208,892	05-04-93	Burack, et al.	385	129	
	A26	5,219,710	06-15-93	Horn, et al.	430	270	
	A27	5,219,787	06-15-93	Carey, et al.	437	187	
	A28	5,237,434	08-17-93	Feldman, et al.	359	19	
	A29	5,247,593	09-21-93	Lin, et al.	385	17	
	A30	5,249,245	09-28-93	Lebby, et al.	385	89	
	A31	5,263,111	11-16-93	Nurse, et al.	385	130	

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	A32	5,268,973	12-07-93	Jenevein	385	74	
	A33	5,317,657	05-31-94	Gallo, et al.	385	14	
	A34	5,332,690	07-26-94	Cho, et al.	437	126	
	A35	5,352,566	10-04-94	Springer, et al.	430	321	
	A36	5,358,896	10-25-94	Komatsu, et al.	437	89	
	A37	5,371,818	12-06-94	Presby	385	49	
	A38	5,375,184	12-20-94	Sullivan	385	129	
	A39	5,394,490	02-28-95	Kato, et al.	385	14	
	A40	5,416,861	05-16-95	Koh, et al.	385	14	
	A41	5,428,698	06-27-95	Jenkins, et al.	385	27	-
	A42	5,444,811	08-22-95	Yoshimura, et al.	385	141	
	A43	5,465,860	11-14-95	Fujimoto, et al.	216	24	
	A44	5,469,518	11-21-95	Song, et al.	385	89	
	A45	5,488,682	01-30-96	Sauter, et al.	385	53	
	A46	5,500,540	03-19-96	Jewell, et al.	257	82	
	A47	5,513,021	04-30-96	Kaneshiro, et al.	359	15	<u> </u>

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# LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE

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	A48	5,513,283	04-03-96	Whang, et al.	385	8	
	A49	5,521,992	05-28-96	Chun, et al.	385	14	
	A50	5,525,190	06-11-96	Wojnarowski, et al.	358	133	
	A51	5,541,039	07-30-96	McFarland, et al.	430	290	
	A52	5,546,480	08-13-96	Leonard	385	3	
	A53	5,555,326	09-10-96	Hwang, et al.	385	2	
	A54	5,561,733	10-01-96	Ermer, et al.	385	143	
	A55	5,562,838	10-08-96	Wojnarowski, et al.	216	24	
	A56	5,568,574	10-22-96	Tanguay, Jr., et al.	385	14	
	A57	5,581,646	12-03-96	Tsukatmoto, et al.	385	96	
	A58	5,611,008	03-11-97	Yap	385	14	
	A59	5,652,811	07-29-97	Cook, et al.	385	14	
	A60	5,621,837	04-15-97	Yamada, et al.	385	88	
	A61	5,638,469	06-10-97	Feldman, et al.	385	14	
	A62	5,659,648	08-19-97	Knapp, et al.	385	129	
	A63	5,708,178	01-13-98	Ermer, et al.	546	276.7	

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EXAM'R INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	yes	no

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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A64	5,723,176	03-03-98	Keyworth, et al.	427	163.2	
	A65	5,751,867	05-12-98	Schaffner, et al.	385	3	
	A66	5,757,989	05-26-98	Yoshimura, et al.	358	14	
	A67	5,761,350	06-02-98	Koh	385	14	
	A68	5,764,820	06-09-98	De Dobbelaere, et al.	385	14	
	A69	5,770,466	06-23-98	Sasaki, et al.	437	89	
	A70	5,770,851	06-23-98	Park, et al.	250	208.1	
	A71	5,796,883	08-18-98	Hamamoto, et al.	358	14	
	A72	5,817,541	10-06-98	Averkiou, et al.	438	107	
	A73	5,459,232	10-17-95	Sotoyama, et al.	528	353	
	A74	5,594,093	01-14-97	Sotoyama, et al.	528	353	
	A75	5,658,966	08-19-97	Tsukamoto, et al.	522	99	
	A76	5,818,983	10-06-98	Yoshimura, et al.	385	14	
	A77	5,835,646	11-10-98	Yoshimura, et al.	385	14	
	A78	5,854,868	12-29-98	Yoshimura, et al.	385	50	
	A79	5,902,715	05-11-99	Tsukamoto, et al.	430	290	
	A80	5,917,980	06-29-99	Yoshimura, et al.	385	129	

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EXAM'R INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	yes	no

OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)

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STATEMENT

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		1010	JIGI TITLE			-	
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	yes no
	В3	JP 7-077637A	3/20/95	Japan			Yes - Abstract
	B4	JP-8-007626A	1/12/96	Japan			Yes - Abstract
	B5	JP-8-008389A	1/12/96	Japan			Yes - Abstract
	В6	JP-8-065251A	3/8/96	Japan			Yes - Abstract
	В7	JP-8-069024A	3/12/96	Japan			Yes - Abstract
	B8	JP-8-253758A	10/1/96	Japan			Yes - Abstract

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	C2	G. D. Boyd, et al., "Directional Reactive Ion Etching at Oblique Angles," Applied Physics Letters
	ļ	vol. 36, no. 7, pages 583-585, April 1, 1980.
-	C3	Chang, Yablonovitch, et al., "Vapor Phase Epitaxial Liftoff Process of GaAs", Paper H10.1 of Session
		H10 of the Fall 1997 Materials Research Symposium, Abstract and private manuscript, 1997.

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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT				APPLICANT Yoshimura, et al.				
M2 3	(Us	e several sheets if necessary)		FILING DATE May 19, 2000	(A5 5	GRC 2874	OUP ART	UNIT
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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CL	ASS	Subclass	yes 1
	B9	JP-8-262246A	10/11/96	Japan				Yes - Abstrac
	B10	JP-8-262265A	10/11/96	Japan				Yes - Abstrac
	B11	JP-8-320422A	12/03/96	Japan				Yes - Abstrac
	B12	JP-9-157352A	04/04/97	Japan				Yes - Abstrac
	B13	JP-9-0090153A	06/17/97	Japan				Yes - Abstrac
		OTHER ART (Inclu	ide Author.	Title, Date, Pertinent P	ages, E	itc.)		
	C4	Norio Murata, "Adhesives for	Optical Dev	ices", the 48 <sup>th</sup> conference 78-1185. Seattle, May 2	e of the 5-28, 19	Electr 998.		
	C5	Jianhua Gan, et al., "Integration Distribution System for Super Diego, USA, November 1, 19	on of 45-degree computer,"	ree Micro-couplers in Gu 1998 International Sympo	ided-w	ave Ot	otical Clock roelectronic	cs, San
	C6	Yoshimura, et al., "Optoelectr Waveguide-Based Board Leve Iketani Conference, 4 <sup>th</sup> Interna 1998, Chitose, Hokkaido, Japa	onic Amplif el Interconne ational Confe	ier/Driver-Less Substrate ection-Calculation Of De	lay And	l Powe	r Dissipati	on," the 8t

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